**Laser Interferometer Space Antenna**

# LISA Consortium Policies and Procedures

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# Contents

# List of acronyms

**DDPC**    Distributed Data Processing Centre

**MG**       Member Group
**MT**       Management Team

**NSGS**    NASA Science Ground Segment

**P&O**     Performance and Operations

**WG**       Working Group

# 1   Procedures

## 1.1   Council Procedures

1.1.1 The Council will aim to meet a minimum of 10 times per year. Meetings will be remote, via an online video conferencing platform, and exceptionally in person at Consortium meetings.

1.1.2 The expected duration of Council meetings will be notified in advance. If additional time is required for a timely matter, an additional meeting will be scheduled.

1.1.3 The Council makes decisions using an electronic voting application. The Council Chair is responsible for generating each vote and reporting the results back to the Council. In accordance with §6.1.2.1 of the by-laws, records for these votes will be made available following the Voting Record Policy described later in this document.

1.1.4 Council meeting agendas and approved minutes will be made available to all core members of the Consortium.

1.1.5 The Council may deem certain items to be sensitive and enter a closed session to discuss them. The meeting minutes will indicate that there was a closed session, but nothing further. Votes arising from matters discussed in closed sessions will be restricted to Council members present at the closed session. Decisions made in closed session and not relating to named individuals will be communicated to all Council members and can be shared with other Consortium members.

1.1.6 Minutes of Council meetings can be requested by Consortium community members and will be shared if it is deemed appropriate by the Council.

1.1.7 The meeting agenda is prepared by the Council chair and circulated in advance of the meeting. The Council chair is responsible for ensuring that each meeting is minuted.

1.1.8 Council members can propose items for the agenda, in advance, to the Council chair. The Council chair can choose to adopt these items.

1.1.9 Council members can also raise items of Any Other Business in Council meetings. Items raised as AOB requiring more extended discussion will, with the agreement of those present at the Council meeting, be scheduled for a future Council meeting.

1.1.10 In accordance with §6.1.2.2 of the by-laws, any motion with the support of at least 20% of Council members will automatically be scheduled for discussion at the next Council meeting, and subsequently voted on if the motion requires it.

1.1.11 The Council chair maintains a schedule of items for the Council agenda.

1.1.12 Items are addressed in the order in which they are received, unless they have stated deadlines or are high priority.

1.1.13 The identification of high priority items on the schedule is the responsibility of the Spokesperson, in consultation with the Council chair and Management Team.

## 1.2   Election and appointment procedures

1.2.1 The by-laws stipulate which roles within the Consortium are elected or appointed, term limits and the appropriate electorate.

1.2.2 The by-laws stipulate the voting method used in elections.

1.2.3 Elections and appointments are administered by the Appointments and Elections Committee.

1.2.4 At least one month prior to the end of a position?s term of appointment, the incumbent will be informed, and the upcoming vacancy advertised to all current core members of the Consortium.

1.2.5 Expressions of interest in the vacancy will be accepted for a period of not less than two weeks.

1.2.6 All core members of the Consortium who are in good standing can express interest in open positions. All those interested will appear on the subsequent ballot.

1.2.7 Core members will be considered not in good standing if they are the accused party in an ongoing Consortium grievance procedure or have previously been found to have violated the code of conduct of the Consortium or other collaborations / institutions.

1.2.8 All candidates will have the opportunity to make their case to and answer questions from the relevant electorate for the position.

1.2.9 In the event that there is only one candidate for the position, after reasonable effort from the Appointments and Elections Committee to solicit further expressions of interest, this candidate will be deemed to have been elected or appointed.

1.2.10 The winner of the election will be announced to the relevant electorate following the close of the election, by email or at a Consortium call open to all relevant Consortium members.

1.2.11 The current post-holder will remain in post until election procedures for the replacement have been concluded.

1.2.12 If a post-holder resigns their position prior to the end of the term, a special election to fill the post will be held following the same procedures. The Management Team may appoint someone to temporarily fill the role.

## 1.3   Management Team procedures

1.3.1 The management Team will meet fortnightly, or more frequently as necessary. Meetings will be remote, via an online teleconferencing platform, and exceptionally in person at Consortium meetings. Where possible, the schedule of Management Team meetings will be coordinated with the schedule of Council meetings to ensure that materials for items of Council business can be prepared in advance.

1.3.2 The management Team maintains wiki pages, visible to all core members of the Consortium, where information about the activities of the management team will be shared.

1.3.3 Agendas and a summary of the minutes of Management Team meetings are posted in the wiki pages and will include a list of attendees.

1.3.4 Information about the activities of the Management Team, and minutes of meetings, can be requested by Consortium community members and will be shared if it is deemed appropriate by the Management Team.

1.3.5 The Spokesperson, as chair of the Management Team, sets the agenda for each meeting and ensures that minutes are taken. Minute taking will rotate through members of the management team.

1.3.6 Decisions of the management team are taken as follows:

1.3.6.1 In general, the Management Team operates by consensus in making decisions. Consensus is achieved when every member either agrees or is willing to set aside their points of disagreement on a topic.

1.3.6.2 When a formal vote is needed, the decision is by simple majority vote.

1.3.7 The Management Team may enter a closed session to discuss sensitive topics. The minutes will indicate that the Management Team entered a closed session, but no details of the closed session will be recorded in the minutes available to core members. Decisions arising from closed sessions will be recorded where possible, e.g., when not relating to individuals or confidential information.

## 1.4 Consortium work plan

1.4.1 The Consortium work plan lists activities that are recognized as deliverables to the Consortium. This includes scientific projects, administrative/service activities (such as holding posts within the Consortium, or serving on committees), contributions to the LISA project as well as education and outreach activities.

1.4.2 The work plan is updated once per reporting period (as defined in the by-laws). The updated work plan will be open for comments from core members for a period of no less than two weeks.

1.4.3 The updated work plan, including responses to received comments, will be available to core members of the Consortium for a period not less than one month prior to the deadline for service tracking submissions.

1.4.4 The Council and Management Team (MT) are responsible for ensuring that the work plan is updated in good time.

## 1.5 Procedures for Consortium projects

1.5.1 All recognized Consortium projects will be listed as deliverables in the Consortium work plan.

1.5.2 Any core member of the Consortium can propose a new Consortium project within an existing Consortium Working Group (WG).

1.5.3 New projects must be presented to the relevant WGs and approved by the WG chairs. If new projects have significant overlap with ongoing Consortium projects, the WG chairs will suggest that the proposers join the ongoing project, possibly as a new sub-team. If proposed projects are identified as having significant overlap with work being carried out outside the Consortium by members of the WG with external collaborators, the WG chairs will work with the interested parties to find a mutually agreeable way to move forward.

1.5.4 Approved Consortium projects are expected to be collaborative across working groups or institutions within the Consortium, or focussed on delivering key results or tools identified by the working groups or Council as required to ensure the success of the mission or to deliver the scientific goals of the consortium.

1.5.5 Newly approved projects must be advertised to all core members of the relevant WGs. WG members expressing interest, with valuable expertise and sufficient available time should normally be given the opportunity to contribute to the project. Contributions can be through joining the proposing team, or by forming one or more sub-teams working in a coordinated effort towards a common deliverable.

1.5.6 Reasonable limits on the number of participants in a project can be imposed, with the agreement of the chairs of the relevant WGs.

1.5.7 Disagreements about the participation of WG members in projects will be mediated by the Management Team in the first instance, and can be elevated to the Council. The Ombuds Office can also be asked to adjudicate any disputes.

1.5.8 WG chairs are responsible to make sure that projects with the same aim are not approved across different WGs.

1.5.9 Each project must have one or more coordinators, which may (but do not need to) be the proposers of the project. The coordinator(s) are responsible for ensuring the project progresses on a reasonable timescale and for vetting any service tracking submissions related to that project.

1.5.10 The coordinators will be suggested by the project proposer, in consultation with the WG chairs, at the time the project is proposed. When the proposer is not the coordinator, the proposer would normally form part of the project team.

1.5.11 The internal organisation of a project into sub-teams can be decided by the project participants, in consultation with the project coordinators and with the agreement of the WG chairs. If multiple sub-teams are working in parallel on a given project, the coordinator(s) must ensure that these sub-teams regularly communicate their progress and findings to each other.

1.5.12 Projects with broad scope, or generating significant scientific results, or deemed to be of high priority, can be designated as Consortium Key Projects. The Council has the right to instigate Key Projects and to designate ongoing WG projects as Key Projects.

1.5.13 Key Projects will be publicised to all core members of the Consortium.

1.5.14 Key Projects will have coordinators, appointed by the Council, or a committee designated by the Council.

1.5.15 Core members and WGs will be expected to prioritize Key Projects over other Consortium deliverables.

1.5.16 A list of titles of ongoing projects will be made available to community members, to facilitate their transition to core membership. Key Projects will only be advertised to community members with the permission of the Council.

1.5.17 The list of ongoing projects will be available through the Directory. It is the responsibility of the project coordinators to ensure the information in the Directory is kept up to date.

## 1.6   Grievance Procedure

1.6.1 Any core member of the Consortium can express a grievance against another core member of the Consortium. Such grievances are sent in the first instance to a member of the Management Team. At the request of the aggrieved party, a grievance may be communicated by another core member of the Consortium on their behalf. All parties involved in a grievance procedure are entitled to seek impartial and confidential advice from the Ombuds Office.

1.6.2 If a core member of the Consortium is believed to have acted in a manner that is inconsistent with the code of conduct of the Consortium, this will also be referred to the Management Team.

1.6.3 If a grievance or alleged code of conduct violation is brought to the attention of the Management Team, they will report to the Council that a grievance has been filed and request permission to form a small temporary committee to investigate the incident. Confidential details of the incident will only be conveyed to the Council with the explicit permission of the involved parties.

1.6.4 The committee will consist of at least 5 core members of the Consortium, including up to 1 person proposed by the aggrieved person(s) and up to 1 person proposed by the accused person(s). All parties involved will have the opportunity to object to the proposed committee and the Ombuds Office will mediate any disagreements. The composition of the committee is subject to final approval by the Council.

1.6.5 The committee will investigate the incident, under conditions of maximal confidentiality, giving all concerned parties the opportunity to freely express their account of what occurred, and seeking independent confirmation from neutral parties where possible. At the request of any involved party, the Ombuds Office can be asked to mediate interactions between the committee and the involved parties.

1.6.6 Consortium members who are subject to a grievance procedure have the right to seek support from the Spokesperson and their Member Group (MG) or WG Council representative(s) and to receive impartial and confidential advice from the Ombuds Office.

1.6.7 At the conclusion of their investigation, the committee will report their findings and recommendations to the Council. Confidential details of the incident that were shared with the committee as part of their investigation will only be shared with the Council with the explicit permission of the involved parties. At the request of the involved parties, the Ombuds Office will be invited to the Council meeting to mediate the discussions between the committee and the Council.

1.6.8 The Council can accept the report of the committee, or request that the committee carry out further investigations before making a decision. The Council is not bound to accept recommendations from the committee relating to actions.

1.6.9 It will normally be expected that a core member found to be at fault would be given a warning and allowed to continue as a member of the Consortium.

1.6.10 For severe or repeated violations of the code of conduct, the Council has the right to remove the core member from the Consortium.

1.6.11 Core members found to be at fault in a grievance procedure have the right to appeal to the Ombuds Office.

## 1.7   Membership Application Review Procedure

1.7.1 Membership applications are first reviewed by the Membership Committee.

1.7.2 Applications from prospective members making verifiable contributions to the LISA project (including the DDPC, NSGS, Performance and Operations (P&O) and hardware teams) can be accepted without further vetting.

1.7.3 Applications from prospective members working at institutions in ESA member states, Canada and the US and with a clear indication of the areas in which they would expect to contribute to the Consortium following the end of their probationary period, can be accepted without further vetting.

1.7.4 All other applications must be voted on by the Council, following a presentation and recommendation by the Membership Committee.

1.7.5 The Membership Committee has the right to ask for a Council vote on any application, irrespective of the specifics of the case.

# 2 Policies

## 2.1 Contribution threshold

Core members are expected to be making a significant contribution to items in the Consortium work plan. As a guideline, core members should anticipate spending at least 25% of their available research time on these activities. However, the assessment of contributions will account for individual circumstances.

Core members are expected to make a significant contribution to **at least one item from the Consortium work plan per year**.

## 2.2 Service tracking policy

Contributions to the Consortium will be itemized in the work plan and must be reported annually by core members of the Consortium. Reporting will be through a service tracking form that will be available online within the Consortium Directory. Vetting will be carried out by the coordinators of individual projects, where such coordinators have been appointed, or by the Membership Committee or another committee designated by the Council. Details of these policies follow below.

2.2.1 Each core member must report their work for the Consortium over the past reporting period and plans for the next reporting period once per period. The length of the period is specified in the by-laws.

2.2.2 Reporting will comprise a list of Consortium deliverables to which the core member has contributed, with a short (2-3 sentences) description of the contribution.

2.2.3 Reporting will be via the service tracking form available within the Consortium directory.

2.2.4 Pledges for the next period will consist of a list of deliverables, chosen from the list given in the Consortium work plan, to which the core member will contribute. A short (1-2 sentence) description of the proposed work should also be given.

2.2.5 Vetting of contributions to Consortium projects will be by the coordinators of those projects (see § 1.5), and overseen by the Membership Committee.

2.2.6 Vetting of other contributions to the Consortium, including service contributions and contributions to the LISA project, will be carried out by the Membership Committee or another body designated by the Council.

2.2.7 If a claimed contribution is queried, the core member will be given the opportunity to elaborate on their contribution.

2.2.8 In the event of continued disagreement, the matter can be referred to the Membership Committee for resolution or addressed through the grievance procedure described in § 1.6.

2.2.9 Not all contributions and pledges will necessarily be vetted annually; a procedure will ensure that all Core members will be vetted on a rotating basis. Consortium members will not know in advance whether or not their contributions in a given year will be subject to vetting. Any core members not subject to vetting will be deemed to have met the contribution threshold for the year.

2.2.10 Service tracking submissions will be available to other core members of the consortium.

## 2.3 Document distribution policy

2.3.1 Documents describing Consortium policies and summarising the results of Consortium projects/deliverables will be made available in a LISA Consortium document management system.

2.3.2 Access to these documents will usually be available to all core members of the Consortium.

2.3.3 Under exceptional circumstances, documents that make use of or refer to information from external entities that are subject to restrictions, may be restricted to a subset of the core membership of the Consortium. The inclusion of documents subject to restriction (for example on the basis of nationality or institutional affiliation) in the Consortium document management system is at the discretion of the Council.

2.3.4 The Consortium will maintain a public database of documents related to the LISA mission. The Consortium will strive to make as many documents as possible available in the public database.

2.3.5 Documents will only be added to the public database with the permission of the authors.

2.3.6 Final decisions about which documents to make public will be made by a committee designated by the Council.

## 2.4 Publication and presentation policy

The purpose of the Consortium publication policy is to ensure that the Consortium speaks with a common voice, presents a consistent and scientifically validated picture of the mission objectives and capabilities, and avoids, as much as possible, contradictions of facts. It aims to offer support and encouragement to core members, and not to present obstacles to the scientific work of core members.

2.4.1 All publications by core members that are the output of Consortium projects, or contributions toward other Consortium deliverables described in the Consortium work plan, will be circulated within the relevant WGs of the Consortium for a period of no less than one week prior to appearing in the public domain.

2.4.2 Core members are encouraged, but not obliged, to circulate other relevant publications for comment.

2.4.3 All core Consortium members will have access to draft publications in circulation and be given the opportunity to provide comments. The comment period will typically last one week.

2.4.4 At the discretion of the chairs of the relevant WG, publications related to projects within the WGs will be subject to internal review. The reviewer(s) will be chosen by a committee designated by the Council, in consultation with the authors of the publication and the WG chairs. The review will proceed in parallel with the circulation of the publication for comments.

2.4.5 Consortium members providing comments or internal reviews of publications will not normally become authors on the publication.

2.4.6 Publications from Consortium Key Projects will be circulated to all core members of the Consortium for a period not less than two weeks.

2.4.7   Publications from Consortium Key Projects will always be subject to internal review, with reviewers appointed by the Council. Reviews will be expected within two weeks. Review will proceed in parallel with the circulation of the publication for comments.

2.4.8   Publications subject to internal review cannot be released publicly or submitted to a journal until any comments have been addressed to the satisfaction of the internal reviewer. In the event of disagreements between the authors and the reviewer, the authors have the right to request an alternative reviewer. This is subject to approval and mediation by the committee designated by the Council.

2.4.9   Publications reporting the results of Consortium projects will offer opt-in authorship to all core members that have contributed to the work reported, as assessed by the project coordinator(s). Author lists will have two tiers, both organised alphabetically. The first tier will include individuals that have made the most significant contributions to the work of the project (as assessed by the coordinators). All other eligible authors will appear in the second tier.

2.4.10   Disagreements over eligibility to authorship of a paper circulated within the Consortium or arising from a Consortium project will be mediated in the first instance by the chairs of the relevant WGs. In the event that no resolution can be reached, the case can be referred to the Council. A mediation of the dispute by the Ombuds Office can be initiated at any time.

2.4.11   Publications resulting from Consortium Key Projects will include in the author list all core members of the Consortium who choose to opt-in, all opt-in legacy members and, where deemed appropriate by the Council and permitted by the target journal, all deceased members. Author lists will have two tiers, both organised alphabetically. The first tier will include all individuals that have made direct contributions to the work of the Key Project. All other eligible authors will appear in the second tier.

2.4.12   The target journal for publications arising from Consortium Key Projects will be decided by a committee designated by the Council, in close consultation with the project coordinators and relevant WG chairs. Any applicable publication charges will be paid by the institutions of core members of the Consortium, subject to agreement by those institutions. The committee designated by the Council will identify such institutions prior to the submission of the publication. Decisions on target journals will take into account the availability of funding to cover publication charges.

2.4.13   Public presentations by core members of the Consortium are not required to be circulated within the Consortium.

2.4.14   Core members wishing to make use of Consortium data (as defined in § 2.8) in a presentation should seek appropriate permissions and include appropriate acknowledgments.

2.4.15   Any core member can request an internal review of a presentation. These requests should be sent to a committee designated by the Council.

2.4.16   Core members invited to speak about LISA at conferences, workshops or seminars are free to accept such invitations without seeking permission. Should a core member receive an invitation that they are unable to accept, they are encouraged to pass on the information to the appropriate committee designated by the Council, to help find a suitable replacement.

2.4.17   Presentations reporting the results of a Consortium project can be given on behalf of the Consortium WG, with the permission of the WG chairs.

2.4.18 Presentations reporting the results of a Consortium Key Project can be given on behalf of the Consortium WG, with the permission of the Council. Council permission can be granted through a committee designated by the Council, or by informal vote at a Council meeting.

## 2.5   Council representation policy

2.5.1 Member group and WG representatives are elected in proportion to the size of the member group or working group, as stipulated in the by-laws. The size of the member group, or number of relevant core members of the WG, is determined at the time that the term of the previous representative(s) is coming to an end. Newly appointed/elected representatives serve the full term of a Council member allowed by the by-laws, irrespective of changes to the member group or WG size during that time.

2.5.2 The procedure via which Council representatives are appointed or elected, and the relevant appointing body or electorate, is specified in the by-laws.

2.5.3 One third of science WG representatives come up for re-election each year. The number of representatives to be elected will be determined from the difference between the number of representatives to which the WG is entitled and the number of WG representatives not up for re-election in a given year. If the latter exceeds the former, no new representatives will be elected in that year. The council seats occupied by WG co-chairs are excluded from these calculations.

2.5.4 Members of the Support Team (see section 3.5) receive representation in the Council via their chair.

## 2.6   Conferences and Workshops

2.6.1 Core members may have priority access to any workshop, skill development and mentor programs organized by the Consortium.

2.6.2 Activities geared towards early career researchers will be available to both core and community members on a first-come first-served basis.

## 2.7   Membership

2.7.1 All members must declare a primary institutional affiliation or ?none? and must update the Consortium on any change of this status.

2.7.2 All core members may publicly identify themselves as core members of the Consortium.

2.7.3 The rotation of the MG representative is strongly encouraged and shall happen in cases where an alternative core member is willing. In the case where there is no alternative, due to other commitments, contract length, or any reasons personal or professional, exceptions can be made. The Membership Committee will make decisions on these exceptions on a case-by-case basis.

## 2.8   Consortium materials policy

The by-laws prohibit core members of the Consortium from using Consortium data without seeking appropriate prior consent of the relevant LISA Consortium persons (LISA Consortium Council or person assigned by the LISA Consortium Council). This policy defines the consent process and what is meant by Consortium data.

2.8.1 Core members wishing to use Consortium data, as defined in 2.8.2 to 2.8.4, must seek permission from the core member or WG that produced the data. If the heritage of the data is unclear, permission should be sought from a committee designated by the Council.

2.8.2 Consortium data includes but is not limited to: images, simulated data, codes, analysis results, and documents, shared within the Consortium by core members but not yet in the public domain.

2.8.3 Consortium data also includes: information, including descriptions of work, that was shared orally or in slides presented on Consortium working group and other calls, that is not yet in the public domain.

2.8.4 Consortium data also include drafts of scientific publications that have been circulated within the Consortium but are not yet in the public domain.

2.8.5 Core members using Consortium data with permission should include appropriate acknowledgement.

2.8.6 Nothing that is in the public domain is classified as Consortium data and can therefore be used freely by all members of the Consortium.

2.8.7 Core members using public data to produce scientific results should not claim that it is a product of the Consortium unless the results have been circulated and discussed within a WG of the Consortium prior to publication.

## 2.9   Working Group and committee formation and dissolution policy

2.9.1 Any core member of the Consortium can submit a proposal to the Council for the formation of a new working group.

2.9.2 The proposal should include the anticipated scope of the working group activities, a set of at least three already ongoing or proposed projects for the working group, and a list of at least ten core members who indicated their potential interest in joining the group. The scope of new WGs should be unique and avoid overlap with existing WGs.

2.9.3 The Council has the final say on whether a new WG is created and whether it is designated as a Science WG.

2.9.4 After the creation of the WG, it will be advertised to all core members of the Consortium.

2.9.5 Once more than 20 members have joined the WG, the Appointments and Elections committee will organize the election of the WG chairs. If the number of core members joining a WG is not sufficiently large, or suitable candidates to be WG chairs cannot be found, the Council has the right to reverse its decision on the creation of the WG.

2.9.6 If the Consortium agrees to dissolve a WG following §4.2.12 in the by-laws the following steps will be taken

2.9.6.1 The members of the WG will be notified of the decision.

2.9.6.2 Core members listing the dissolved WG as their primary WG will be asked to select a new primary WG.

2.9.6.3 Ongoing WG projects that will require more than six months to bring to completion will be transferred to a new WG, with the same participants and coordinators. Other projects will continue in the WG until completion.

2.9.6.4 The WG chairs will continue in their role until these other WG projects have been brought to completion, but no further WG chair elections will be held after the date of the Council decision to dissolve the WG.

2.9.6.5 Council representatives elected from the dissolved WG will serve out the remainder of their terms but will not be replaced.

2.9.7 Committees are formed by the Council as described in §6.3.3 of the by-laws.

2.9.8 Committees can be dissolved by the Council, possibly after a confirmatory vote by the core members of the Consortium, following §6.3.9 of the by-laws. If a committee is to be dissolved they will be given a period of three months to complete any ongoing tasks, or transfer these to other committees of the Consortium.

## 2.10   Active Participation policy

Section 4.2.9 of the by-laws requires core members to be actively participating in the WGs of which they are members. This policy defines active participation.

2.10.1 Active participation in the primary WG means making tangible contributions (producing results or providing scientific leadership) to one or more projects listed by the WG.

2.10.2 An exception to 2.10.1 is made for core members who are primarily engaged in LISA project activities (such as the hardware teams, P&O, Distributed Data Processing Centre (DDPC) and NASA Science Ground Segment (NSGS)). Such members should be actively contributing to projects issued by instrument/P&O/DDPC/NSGS research units and should also maintain a "reasonably active" participation (attendance to calls etc.) in their primary WG.

2.10.3 Active participation in other WGs includes regular attendance at WG calls or making tangible contributions (producing results or providing scientific leadership) to one or more projects listed by the WG.

## 2.11   Voting record policy

2.11.1 For Council votes relating to named individuals or groups, only the result (pass/fail) and the total number of votes will be made available. For other votes the record of each Council member will be available for inspection to the core members they represent, with the consent of the Council member.

2.11.2 For other votes, including the election of the Spokesperson, elections of WG chairs and votes on motions by the whole Consortium, voting records will not be public. For votes relating to named individuals or groups, only the result of the vote will be made available. In other cases, vote totals for each balloted item will be made available.

# 3   Definition of roles

This section of the policies and procedures document defines the roles and responsibilities of posts and permanent committees that are not defined in the by-laws.

## 3.1   Ombuds Office

The LISA Consortium Ombuds Office provides confidential, informal, independent, and neutral dispute resolution advisory services for all members of the LISA Consortium. (The procedure of the LISA Consortium for formally addressing interpersonal concerns or problems is described

in the Grievance Procedure.) The Ombuds Office assists all members in identifying and evaluating options for resolving and managing conflicts, provides various types of informal mediation services, and makes referrals to other appropriate academic and community resources. The Ombuds Office is meant to help with conflicts that arise in LISA Consortium working groups or events, not in problems internal to an academic institution, which usually can be mediated by the appropriate offices in the host institution.

The Ombuds Office is familiar with the organizational structure of the Consortium and can provide current information about services, programs, policies, and procedures. Due to its informal, confidential, and independent role outside the administrative structure of the Consortium, notice to the Ombuds Office about a problem does not result in the generation of records, nor does it constitute legal notice to the member host institution about the existence of a problem. For those interested in making official complaints to the university about a problem, the Ombuds Office can assist by making appropriate referrals.

The LISA Consortium Ombudsperson reports only to the Spokesperson, but does not share any confidential information. The Ombudsperson may be a core member of the Consortium, but should not have any other leadership or supervisory role that may compromise the Ombudsperson's impartiality. The LISA Consortium adopts the role definitions from the International Ombuds Association copied below from `http://www.ombudsassociation.org/resources/what-ombuds`:

*The Organizational Ombuds–Role and Function* The primary duties of an organizational Ombuds are (1) to work with individuals and groups in an organization to explore and assist them in determining options to help resolve conflicts, problematic issues or concerns, and (2) to bring systemic concerns to the attention of the organization for resolution.

An organizational Ombuds operates in a manner to preserve the confidentiality of those seeking services, maintains a neutral/impartial position with respect to the concerns raised, works at an informal level of the organizational system, and is independent of formal organizational structures. Successfully fulfilling that primary function in a manner consistent with the International Ombuds Association Standards of Practice requires a number of activities on the part of the Ombuds while precluding others.

Activities and functions most frequently undertaken by an Ombuds include, but are not limited to:

- Listens and understands issues while remaining neutral with respect to the facts. The Ombuds doesn't listen to judge or to decide who is right or wrong. The Ombuds listens to understand the issue from the perspective of the individual. This is a critical step in developing options for resolution.

- Assists in reframing issues and developing and helping individuals evaluate options. This helps individuals identify the interests of various parties to the issues and helps focus efforts on potential options to meet those interests.

- Guides or coaches individuals to deal directly with other parties, including the use of formal resolution resources of the organization. An Ombuds often seeks to help individuals improve their skill and their confidence in giving voice to their concerns directly.

- Refers individuals to appropriate resolution resources. An Ombuds may refer individuals to one or more formal organizational resources that can potentially resolve the issue.

- Assists in surfacing issues to formal resolution channels. When an individual is unable or unwilling to surface a concern directly, the Ombuds can assist by helping give voice to the concern and /or creating an awareness of the issue among appropriate decision-makers in the organization.

- Facilitates informal resolution processes. An Ombuds may help to resolve issues between parties through various types of informal mediation.

- Identifies new issues and opportunities for systemic change for the organization. The unique positioning of the Ombuds serves to provide unfiltered information that can produce insight to issues and resolutions. The Ombuds is a source of detection and early warning of new issues and a source of suggestions of systemic change to improve existing processes.

What an Ombuds does not do:

- Because of the informal, neutral, confidential and independent positioning of an Ombuds in an organization, they typically do not undertake the following roles or activities:

- Participate in formal investigations or play any role in a formal issue resolution process

- Serve in any other organizational role that would compromise the neutrality of the Ombuds role

- Receive notice for the organization

- Make binding decisions or mandate policies

- Create or maintain records or reports for the organization

## 3.2   Diversity, Equity and Inclusion Committee

3.2.1 The Diversity, Equity, Accessibility and Inclusion Committee oversees and documents the Consortium's activities relevant to LISA Consortium members? diversity, equity and inclusion.

3.2.2 Diversity in this context includes different genders, race and ethnic backgrounds, socioeconomic backgrounds, countries of origin, neurodiversity, disability and self-identified membership in groups that are underrepresented in scientific and technical fields.

3.2.3 To ensure that these issues are properly considered, a member of the Diversity, Equity and Inclusion Committee will serve ex-officio as an additional member of the Appointments and Elections Committee.

3.2.4 The committee will prepare and maintain a Best Practices guide for members of the Consortium, regarding both daily Consortium activities and LISA Consortium workshops, conferences and symposia. The Best Practices guide will be adopted by the Council and apply to all members of the Consortium.

3.2.5 The committee will advise on any proposed changes to the Consortium?s Code of Conduct.

## 3.3   Communications Committee

**Mission statement**

Communication plays a vital role in LISA and the LISA Consortium: internally between the various groups, and externally with regard to maintaining and developing the support of regional, national, European, and international governments and other stakeholders, and the general public. After adoption, LISA is in a phase of continuous work towards launch and operations and preparing for the rich harvest of LISA data.

A smooth and efficient internal communication will significantly contribute to a successful mission. This includes passing on knowledge from one generation to the next as well as onboarding new members.

The international environment LISA lives in has become tough. The goal of external communications is therefore to keep science and society enthusiastic about LISA, provide certainty that funding LISA is crucial, and continue communicating the importance of fundamental science.

**Tasks of the Communications Committee**

Based on the overall external and internal environment the Communications Committee develops and maintains a communications strategy that firmly anchors LISA in the scientific community and in the general public; helps to secure long-term support/funding; attracts the best researchers to the field. The Committee provides support and advice for internal and external communications, education, and mentoring. It coordinates with the LISA Consortium, the space agencies, the LST, key funding bodies, and neighbouring scientific communities.

**Communications Committee Members**

The committee will be formed of members of internal Consortium groups and member(s) of the Management team, including but not limited to the Spokesperson. A representative of the Communications Implementation WG will sit on the committee. The committee can invite persons affiliated to relevant external groups to become members, including but not limited to ESA, NASA, and the LST.

**Procedures**

The Committee meets as required, but at least quarterly, and discusses, develops, and maintains the LISA Consortium?s Communications Strategy, its key goals, messages, activities, and budgets. Open questions will be discussed online or in additional focus meetings.

The Committee, working closely with the spokesperson develops and maintains the Communications Strategy.

The Committee chair is a member of both the Management Team and the Communications Implementation WG to expedite mutual flow of information.

## 3.4 Publication and Presentation Committee

This committee will organise the distribution and review of presentations and publications within the consortium. It will fulfill the committee roles stipulated in sections 2.3, 2.4 and 2.8 of these procedures (specifically 2.3.6, 2.4.4, 2.4.8, 2.4.12, 2.4.15, 2.4.16, 2.4.18 and 2.8.1).

## 3.5 Support Team

The aim of the Support Team is to gather non-scientist core members (e.g., administrative personnel) who give a meaningful contribution to the Consortium via their participation to management and service committees or act in support of any specific project-based activity carried out by committees and WGs. Assignment of Support Team members to the tasks is coordinated with their institution/employer. The Support Team will elect a chair from among their members who will serve on the Council, as stipulated in 2.5.4. The term of the chair will coincide with the term length of permanent committees, as stipulated in the by-laws (currently two years).